

## Congressional Notifications



### Overview

This section discusses the procedures for providing Congressional notice of certain financial assistance actions.

Congressional notifications are required for advance notification of award actions, prior notification before issuing a final Funding Opportunity Announcement, and prior notification before terminating an award.

The Headquarters Office of Congressional and Intergovernmental Affairs notifies Members of Congress of DOE activities likely to have an effect on their constituents. These activities include certain financial assistance actions.

For guidance on Section 311 Congressional Notifications, see Acquisition Letter/Financial Assistance Acquisition Letter (AL/FAL) AL 2012-07 / FAL 2012-01, dated February 6, 2012, or latest version. For guidance on Section 301b Congressional Notifications of Multi-Year Awards, see Acquisition Letter/Financial Assistance Acquisition Letter (AL/FAL) AL 2012-08 / FAL 2012-02, dated April 23, 2012, or latest version.

### ➤ **Advance Notification of Award System (ANA)**

For Congressional notification on a financial assistance action (award or modification) at \$2 million or more, there is an automated reporting process and website. This chapter describes the process, which utilizes the existing data in the system of record [Strategic Integrated Procurement Enterprise System (STRIPES)] and generates the data into the new Advanced Notification of Awards System which is part of the iPortal (<https://iportal.doe.gov>). The

- Congressional notifications are required for release of funding opportunity announcements at \$50 million or more and for financial assistance awards, certain modifications, or terminations at \$2 million or more.
- The type of action, based on dollar thresholds, will determine whether it will be –
  - An advance notification of award system notice for financial assistance awards and certain types of modifications on an automated DOE form 4220.10 (3 calendar days before award);
  - Manual reporting for award terminations on DOE form 4220.10 (3 business days before termination);
  - or
  - Manual notification before issuing a final funding opportunity announcement on DOE Form 541, CI Solicitation Notification (3 business days before issuance).

iManage ANA User Guide is at the iPortal website. The ANA system can be accessed directly at: <https://iportalwc.doe.gov/pls/apex/f?p=ANA>

- ***Automated Reporting***

Automated reporting of Congressional Notification actions occurs through award information being entered in STRIPES; which is then electronically extracted from that system and routed for approval to the applicable Procurement Office, then routed for approval to the applicable Program Office, and finally reported to the Office of Congressional and Intergovernmental Affairs (CI). CI coordinates with Public Affairs, the Office of the Chief Financial Officer, and the Office of the Secretary of Energy before reporting this information to Members of Congress.

Automated notification will occur based on the dollar threshold of the award and the proper completion of data in STRIPES. The ANA system looks at the dollar amount and the “ANA Anticipated Award Date” field on the “Pending” award in STRIPES. At least seventy-two hours (3 calendar days) before the planned award, the “ANA Anticipated Award Date” in STRIPES must be updated by the Contract Specialist (CS) or Contracting Officer (CO) to reflect the planned award date and the document must be in “Pending” status.

Seventy-two (72) hours (3 calendar days) before the date in the “ANA Anticipated Award Date” field, the record for this award will be sent to the i-Manage Data Warehouse (IDW) and then to the ANA system. The ANA system transmits an e-mail to the Procurement Office representative (current CS or CO, referred to in the system as current buyer) identified in STRIPES. The email will contain the link to access the ANA Web Application in iPortal.

The ANA User Guide provides the reporting details. Below is a brief summary of what action the CS/CO will perform. The CS/CO will:

- (1) Review the award information for accuracy and completeness;
- (2) Complete block 4 – place of performance. The data to complete this block is contained in the place of performance fields on the FAADS Plus screen in STRIPES;
- (3) Review block 6 – type of action to determine if modification type is correct and whether or not this is a reportable action. For financial assistance actions, the buyer will need to choose whether the modifications are Renewal or Modifications (all modifications other than new awards and renewals should be coded as modifications). If it isn't a reportable ANA action, then the CO/CS must reject it. If it is a termination action of \$2 million or more (based on the original award value), the CO/CS would reject action in ANA and instead manually complete the DOE Form 4220.10. (See Award Termination Congressional Notification section in this chapter.)

(4) (FA Action) review block 7 – There are 3 dollar fields in this block. The first is the amount of this action, the second is the total amount of the award, and the third field is the Recipient Cost Share. This field is calculated by subtracting the “Estimated Government Cost” from the “Total Estimated Cost”.

(5) Review block 9 – brief description - include enough information to describe the effort to be performed and its purpose. It is imperative that a complete description be provided that is sufficient for preparing a press release and/or providing a meaningful description when notifying interested parties. Use non-technical plain English language - no acronyms. This description is generated from the description under the text tab in STRIPES.

(6) Approve or Reject the action. In the event changes need to be made to any of the data fields in the form, the CS/CO can reject the notification, complete the information in the reason for rejection section in the workflow, and correct the data in STRIPES to include the “ANA Anticipated Award Date” field. Once the data in STRIPES has been updated, a new 4220.10 form will be generated and sent back to the CS/CO for approval in the ANA system. Once the CS/CO approves the notification, it will automatically be transmitted to the Program Office and then CI who will route it within Headquarters for concurrences. After CI receives the concurrences, they will approve and transmit the notification to the appropriate Members of Congress.

(7) Award the approved action on the STRIPES proposed award date.

For example: If STRIPES “ANA Anticipated Award Date” is Friday, October 5; the CS/CO receives e-mail notification on Tuesday, October 2. If the CS/CO approves the action on Wednesday, October 3, it will be automatically transmitted to the Program Office (PO) the same day. If the PO does not act on the notification within 24 hours, the notification will automatically be approved and sent to CI. CI continues the internal routing process for concurrences. The CO awards the action on Friday, October 5.

***Note: All CS/COs will need a user identification (userid) and password to access the DOE iPortal to approve or reject notifications in the new Advanced Notification of Awards System. If you do not currently have access to iPortal, please follow the instructions at <http://energy.gov/management/downloads/request-iportal-account>. If you need any assistance with the iPortal, please contact the iManage help desk at 301-903-2500.***

See next page for table containing data fields for DOE F 4220.10.

For proper notification to occur the following data fields must be entered correctly in STRIPES. Reporting actions are based on the pre-defined reporting and dollar thresholds outlined below.

DOE F 4220.10		System of Record
Block #	Field Name	
1	Procuring Office	STRIPES
	Procuring Office Representative (CS/CO)	STRIPES
	Procuring Office Representative Telephone	STRIPES
2	Program Office/Project Office Name (COR/COTR)	STRIPES
	Program Office/Project Office Telephone	STRIPES
3	Contractor, Grantee, or Offeror Name	SAM/STRIPES
	Contractor, Grantee, or Offeror Street Address	SAM/STRIPES
	Contractor, Grantee, or Offeror City	SAM/STRIPES
	Contractor, Grantee, or Offeror State	SAM/STRIPES
	Contractor,Grantee, or Offeror Zip	SAM/STRIPES
4	Place of Performance Street Address (From the 'Project/Performance Site Location(s)' form which is part of the Grants.gov application package.)	CS/CO fill-in
	Place of Performance City(from block 29 on the FAADS/FAADS Plus screen in STRIPES)	CS/CO fill-in
	Place of Performance State(from block 29 on the FAADS/FAADS Plus screen in STRIPES)	CS/CO fill-in
	Place of Performance Zip(from block 29 on the FAADS/FAADS Plus screen in STRIPES)	CS/CO fill-in
5	ANA Anticipated Award Date	STRIPES
	Date of Public Announcement (if any)	none
6	Contract, Grand or Other Agreement No	STRIPES
	Type of Action (NEW/RENEWAL/MODIFICATION)	CS/CO fill in
	Total to Date	STRIPES
7	Obligated Cost or Price of this Action	STRIPES
	\$ Estimate Cost or Price of Total Award	STRIPES
	\$ Recipient Cost Sharing (if applicable) [Calculated by subtracting the Estimated Government Cost from the Total Estimated Cost in STRIPES]	STRIPES
8	Duration of Contract, Grant, or Other Agreement (from and to dates) [These will be generated from the Period of Performance start and end dates in STRIPES]	STRIPES
9	Brief Description (Please provide meaningful details. See instructions.) This description is generated from the description under the text tab in STRIPES.	STRIPES

- **Reportable Actions**

- An award or modification of a grant, cooperative agreement, or other financial assistance over the prescribed dollar threshold.
- Modifications of the above instruments over the prescribed dollar threshold when the modification involves the addition of new work, or extension of the project period.  
**Excluded are:** administrative changes, including funding actions; changes within the scope of the instrument; and award terminations. Award terminations of \$ 2 million or more, regardless of termination type, are to be reported manually on the 4220.10 form, see Award Termination Congressional Notification section in this chapter for details.
- Subaward level actions are not reportable unless a press release is to be issued by the Department of Energy (DOE) or unless the subaward level action is known to have been the subject of a Congressional inquiry. This is not a new requirement. All subaward notifications must be done manually since this data does not exist in the system of record. Unless the CS/CO is otherwise informed that a specific action requires manual reporting, the Program Office is responsible to notify the CS/CO if a subaward report is needed regardless of subaward dollar amount

- **Dollar Thresholds**

The prescribed thresholds for reporting a financial assistance action are as follows:

- For an award or modification\* with a total amount of \$2,000,000 or more for all types of recipients. (Recipient cost share is not included in the total amount.);
- For award terminations with a total amount of \$2,000,000 or more, see the section in this chapter on ‘Award Termination Congressional Notification’ for procedures; or
- Before issuing a final funding opportunity announcements of \$50 million or more, see the section in this chapter on ‘Final Funding Opportunity Announcement Congressional Notification’ procedures.
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- \*In calculating the threshold dollar amount of a modification, the amount of the instant modification is used, not the cumulative amount of the original instrument as modified. Actions which involve funding only are not reported.
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- **Manual Reporting**

Manual reporting for awards and modifications is required when a Contracting Office has not yet implemented the automated ANA system.

Manual reporting is required for termination actions, regardless of type, based on dollar threshold. See Award Termination Congressional Notification section in this chapter.

Manual reporting may be required at times for other actions. Unless the CS/CO is otherwise informed that a specific action, excluding a termination action, requires manual reporting, the Program Office will notify the CS/CO when a manual report is necessary. Manual reporting is required when the action –

- Falls outside the normal reportable actions and dollar thresholds;
- Is a subaward level action and a press release is to be issued by the Department of Energy (DOE); or
- Is a subaward level action which is known to have been the subject of a Congressional inquiry.

Manual reporting is done by completing and submitting DOE Form 4220.10, Congressional Grant/Contractor Notification, in accordance with this guide chapter. The instructions are on page 2 of the form. The DOE Form 4220.10 is located in STRIPES or at the DOE Forms webpage: <http://energy.gov/cio/downloads/congressional-and-intergovernmental-affairs-ci-notification>.

Submission of the form shall be in accordance with the following procedures:

- Print and sign the completed form.
- Scan the form using Adobe Acrobat and create a PDF file. File naming conventions are contained in the File Naming Conventions document available on the Advanced Notification of Awards System webpage <https://notification.pr.doe.gov/aviator/anareg.nsf/Naming%20Conventions?OpenPage>
- Email the completed document into the Advanced Notification of Awards System [Coordinator](mailto:CI-ANA@hq.doe.gov) at [CI-ANA@hq.doe.gov](mailto:CI-ANA@hq.doe.gov)

**Note:** All CS/COs will need a user identification (userid) and password to access the DOE iPortal to approve or reject notifications in the new Advanced Notification of Awards System. If you do not currently have access to iPortal, please follow the instructions at <http://energy.gov/management/downloads/request-iportal-account>. If you need any assistance with the iPortal, please contact the iManage help desk at 301-903-2500.

➤ **Award Termination Congressional Notification**

Contracting activities must manually complete the Congressional Grant/Contractor Notification (DOE form 4220.10) and submit the form 72 hours before issuing a financial assistance award termination, regardless of termination type, based on the original “Total Award” value of \$2 million or more.

DOE Form 4220.10 is located in STRIPES or at the DOE webpage:  
<http://energy.gov/cio/downloads/congressional-and-intergovernmental-affairs-ci-notification>.  
The instructions are on page 2 of the form.

Submission of the form shall be in accordance with the following procedures:

- Print and sign the completed form.
- Scan the form using Adobe Acrobat and create a PDF file. File naming conventions are contained in the File Naming Conventions document available on the Advanced Notification of Awards System webpage  
<https://notification.pr.doe.gov/aviator/anareg.nsf/Naming%20Conventions?OpenPage>
- Email the completed document 72 hours before issuing an award termination to [CI.Notification@hq.doe.gov](mailto:CI.Notification@hq.doe.gov).

➤ **Final Funding Opportunity Announcement Congressional Notification**

Before issuing a final Funding Opportunity Announcement (FOA) of \$50 million or more, the Contracting Officer/Contracting Specialist (CO/CS) must complete and e-mail a CI Solicitation Notification form to the applicable Program Office Representative with a copy to the CI Notification Mailbox ([CI.Notification@hq.doe.gov](mailto:CI.Notification@hq.doe.gov)) 72 hours (3 business days) prior to issuing the announcement. The \$50 million threshold is based on the total estimated award value of the resulting awards including the estimated recipient cost share. Unless otherwise notified by the Program Office or CI, the CO/CS may issue the announcement 72 hours (3 business days) after e-mailing the CI Solicitation Notification form. The CI Solicitation Notification form is at the end of this chapter and also available at <https://www.energy.gov/cio/downloads/doe-f-541-ci-solicitations-notification>

The Program Office is responsible for preparing and submitting the Priority Congressional Notification (PCN) form required by the CI for specific program actions which may include supplementing the FOA information submitted on the CI Solicitation Notification form. In the event the Program Office decides to submit a PCN, the CO or CS should be available to coordinate any necessary information requested by the applicable Program Office. A

memorandum from the DOE Deputy Secretary for all Departmental Elements, Subject: Congressional Notification Requirements, which provides the PCN guidance, is in progress and is expected to be issued in the near future.



## Office of Congressional and Intergovernmental Affairs (CI)

### CI SOLICITATION NOTIFICATION

Before issuing a final Request for Proposal (RFP) of \$25 million or more or a final Funding Opportunity Announcement (FOA) of \$50 million or more, the Contracting Officer/Contract Specialist (**CO/CS**) **must complete and e-mail a CI Solicitation Notification form to the applicable Program Office Representative with a copy to the CI Notification Mailbox** ([CI.Notification@hq.doe.gov](mailto:CI.Notification@hq.doe.gov)) 72 hours (3 business days) prior to issuing the solicitation or announcement. Unless otherwise notified by the Program Office or CI, the CO/CS may issue the solicitation 72 hours (3 business days) after e-mailing the CI solicitation notice.

- Final Request for Proposal (RFP)**
- Final Funding Opportunity Announcement (FOA)**

Procuring Office: \_\_\_\_\_

Contracting Officer/Contracting Specialists: \_\_\_\_\_ Phone: \_\_\_\_\_

Headquarters Program Office: \_\_\_\_\_ Contact Name: \_\_\_\_\_

Program Office Contact Email: \_\_\_\_\_

Proposed Date of Issue: \_\_\_\_\_

BRIEF DESCRIPTION (Also Attach Draft):

**HEADQUARTERS PROGRAM OFFICE MUST COORDINATE ANY SPECIAL OUTREACH WITH THE OFFICE OF CONGRESSIONAL AND INTERGOVERNMENTAL AFFAIRS**

(Use Priority Congressional Notification Process)

For Questions Contact:  
**NOTIFICATIONS COORDINATOR**  
Office of Congressional and Intergovernmental Affairs  
Phone: 202-586-5450  
FAX: 202-586-5497

